



IFW

PATENT

Case Docket No. GLAUKO.1C2C2

Date: September 13, 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Hosheng Tu et al.  
Appl. No. : 10/782,382  
Filed : February 19, 2004  
For : GLAUCOMA IMPLANT KIT  
Examiner : Unknown  
Group Art Unit : 3745

I hereby certify that this correspondence and all marked attachments are being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on

September 13, 2004

(Date)

James W. Hill, M.D., Reg. No. 46,396

TRANSMITTAL LETTER

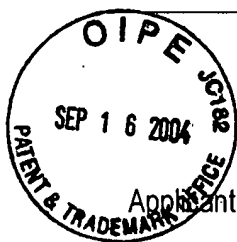
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Enclosed for filing in the above-identified application are:

- (X) An Information Disclosure Statement.
- (X) A PTO Form 1449 listing two hundred nineteen (219) references.
- (X) The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Account No. 11-1410.
- (X) Return prepaid postcard.

James W. Hill, M.D.  
Registration No. 46,396  
Attorney of Record  
Customer No. 20,995  
(949) 760-0404



## INFORMATION DISCLOSURE STATEMENT

Applicant : Hosheng Tu et al.  
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Filed : February 19, 2004  
For : GLAUCOMA IMPLANT KIT  
Examiner : Unknown  
Group Art Unit : 3745

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Enclosed is form PTO-1449 listing 216 references. Copies of disclosed U.S. patents and/or publications are not included pursuant to PTO waiver of the requirement under 37 C.F.R. § 1.98(a)(2)(i) for applications filed after June 30, 2003. Copies of other references, if listed, are enclosed.

This Information Disclosure Statement is being filed before the receipt of a first Office Action on the merits, and presumably no fee is required in accordance with 37 C.F.R. § 1.97(b)(3). If a first Office Action on the merits was mailed before the mailing date of this Statement, the Commissioner is authorized to charge the fee set forth in 37 C.F.R. § 1.17(p) to Deposit Account No. 11-1410.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: \_\_\_\_\_

9/13/04

By: \_\_\_\_\_

James W. Hill, M.D.  
Registration No. 46,396  
Attorney of Record  
Customer No. 20,995  
(949) 760-0404

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
GLAUKO.1C2C2APPLICATION NO.  
10/782,382INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT

(USE SEVERAL SHEETS IF NECESSARY)

APPLICANT  
Hosheng Tu et al.FILING DATE  
February 19, 2004GROUP  
3745

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
	1	DES 490,152	05/18/04	Myall et al.			
	2	RE35,390	12/03/96	Smith			
	3	3,788,327	01/29/74	Donowitz et al.			
	4	4,037,604	07/26/97	Newkirk			
	5	4,168,697	09/25/79	Cantekin			
	6	4,175,563	11/27/79	Arenberg et al.			
	7	4,402,681	09/06/83	Haas et al.			
	8	4,428,746	01/31/84	Mendez			
	9	4,501,274	02/26/85	Skjaerpe			
	10	4,521,210	06/04/85	Wong			
	11	4,554,918	11/26/85	White			
	12	4,604,087	08/05/86	Joseph			
	13	4,632,842	12/30/86	Karwoski et al.			
	14	4,634,418	01/06/87	Binder			
	15	4,718,907	01/12/88	Karwoski et al.			
	16	4,722,724	02/02/88	Schocket			
	17	4,733,665	03/29/88	Palmaz			
	18	4,750,901	06/14/88	Molteno			
	19	4,787,885	11/29/88	Binder			
	20	4,804,382	02/14/89	Turina et al.			
	21	4,820,626	04/11/89	Williams et al.			
	22	4,846,172	07/11/89	Berlin			
	23	4,863,457	09/05/89	Lee			
	24	4,886,488	12/12/89	White			
	25	4,900,300	02/13/90	Lee			
	26	4,936,825	06/26/90	Ungerleider			

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\*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

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	27	4,946,436	08/07/90	Smith			
	28	4,968,296	11/06/90	Ritch et al.			
	29	5,041,081	08/20/91	Odrich			
	30	5,073,163	12/17/91	Lippman			
	31	5,092,837	03/03/92	Ritch et al.			
	32	5,095,887	03/17/92	Leon et al.			
	33	5,127,901	07/07/92	Odrich			
	34	5,129,895	07/14/92	Vassiliadis et al.			
	35	5,171,213	12/15/92	Price, Jr.			
	36	5,178,604	01/12/93	Baerveldt et al.			
	37	5,180,362	01/19/93	Worst			
	38	5,246,451	09/21/93	Trescony et al.			
	39	5,290,295	03/01/94	Querals et al.			
	40	5,300,020	04/05/94	L'Esperance, Jr.			
	41	5,318,513	06/07/94	Leib et al.			
	42	5,334,137	08/02/94	Freeman			
	43	5,338,291	08/16/94	Speckman et al.			
	44	5,346,464	09/13/94	Camras			
	45	5,360,399	11/01/94	Stegmann			
	46	5,370,607	12/06/94	Memmen			
	47	5,370,641	12/06/94	O'Donnell, Jr.			
	48	5,372,577	12/13/94	Ungerleider			
	49	5,397,300	03/14/95	Baerveldt et al.			
	50	5,433,701	07/18/95	Rubinstein			
	51	5,454,796	10/03/95	Krupin			
	52	5,472,440	12/05/95	Beckman			

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	53	5,476,445	12/19/95	Baerveldt et al.			
	54	5,486,165	01/23/96	Stegmann			
	55	5,516,522	05/14/96	Peyman et al.			
	56	5,520,631	05/28/96	Nordquist et al.			
	57	5,557,453	09/17/96	Schalz et al.			
	58	5,558,629	09/24/96	Baerveldt et al.			
	59	5,558,630	09/24/96	Fisher			
	60	5,562,641	10/08/96	Flomenblit et al.			
	61	5,601,094	02/11/97	Reiss			
	62	5,601,549	02/11/97	Miyagi			
	63	5,626,558	05/06/97	Suson			
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	65	5,639,278	06/17/97	Dereume et al.			
	66	5,651,783	07/29/97	Reynard			
	67	5,665,114	09/09/97	Weadock et al.			
	68	5,670,161	09/23/97	Healy et al.			
	69	5,676,679	10/14/97	Simon et al.			
	70	5,681,275	10/28/97	Ahmed			
	71	5,702,414	12/30/97	Richter et al.			
	72	5,702,419	12/30/97	Berry et al.			
	73	5,704,907	01/06/98	Nordquist et al.			
	74	5,713,844	02/03/98	Peyman			
	75	5,723,005	03/03/98	Herrick			
	76	5,741,333	04/21/98	Frid			
	77	5,743,868	04/28/98	Brown et al.			
	78	5,752,928	05/19/98	De Roulhac et al.			

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	79	5,766,243	06/16/98	Christensen et al.			
	80	5,785,674	07/28/98	Mateen			
	81	5,807,302	09/15/98	Wandel			
	82	5,810,870	09/22/98	Myers et al.			
	83	5,830,139	11/03/98	Abreu			
	84	5,830,171	11/03/98	Wallace			
	85	5,836,939	11/07/98	Negus et al.			
	86	5,865,831	02/02/99	Cozean et al.			
	87	5,868,697	02/09/99	Richter et al.			
	88	5,879,319	03/09/99	Pynson et al.			
	89	5,882,327	03/16/99	Jacob			
	90	5,886,822	03/23/99	Spitzer			
	91	5,893,837	04/13/99	Eagles et al.			
	92	5,908,449	06/01/99	Bruchman et al.			
	93	5,932,299	08/03/99	Katoot			
	94	5,968,058	10/19/99	Richter et al.			
	95	5,981,598	11/09/99	Tatton			
	96	6,004,302	12/21/99	Brierley			
	97	6,007,510	12/28/99	Nigam			
	98	6,007,511	12/28/99	Prywes			
	99	6,033,434	03/07/00	Borghi			
	100	6,045,557	04/04/00	White et al.			
	101	6,050,970	04/18/00	Baerveldt			
	102	6,059,772	05/09/00	Hsia et al.			
	103	6,063,116	05/16/00	Kelleher			
	104	6,063,396	05/16/00	Kelleher			

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	105	6,059,812	05/09/00	Clerc et al.			
	106	6,071,286	06/06/00	Mawad			
	107	6,077,299	06/20/00	Adelberg et al.			
	108	6,102,045	08/15/00	Nordquist et al.			
	109	6,142,990	11/07/00	Burk			
	110	6,165,210	12/26/00	Lau et al.			
	111	6,168,575	01/02/01	Soltanpour			
	112	6,174,305	01/16/01	Mikus et al.			
	113	6,187,016	02/13/01	Hedges et al.			
	114	6,193,656	02/27/01	Jeffries et al.			
	115	6,197,056	03/06/01	Schachar			
	116	6,203,513	03/20/01	Yaron et al.			
	117	6,228,873	05/08/01	Brandt et al.			
	118	6,231,597	05/15/01	Deem et al.			
	119	6,241,721	06/05/01	Cozean et al.			
	120	6,254,612	07/03/01	Hieshima			
	121	6,266,182	07/24/01	Morita			
	122	6,268,398	07/31/01	Ghosh et al.			
	123	6,342,058	01/29/02	Portney			
	124	6,375,642	04/23/02	Grieshaber et al.			
	125	6,428,501	08/06/02	Reynard			
	126	6,450,984	09/17/02	Lynch et al.			
	127	6,464,724	10/15/02	Lynch et al.			
	128	6,524,275	02/25/03	Lynch et al.			
	129	6,533,768	03/18/03	Hill			

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	130	6,544,249	04/08/03	Yu et al.			
	131	6,585,680	07/01/03	Bugge			
	132	6,626,858	09/30/03	Lynch et al.			
	133	6,629,981	10/07/03	Bui et al.			
	134	6,638,239	10/28/03	Bergheim et al.			
	135	6,666,841	12/23/03	Gharib et al.			
	136	6,699,211	03/02/04	Savage			
	137	6,736,791	05/18/04	Tu et al.			
	138	6,780,165	08/24/04	Bergheim et al.			
	139	2002/0133168	09/12/02	Smedley et al.			
	140	2002/0143284	10/03/02	Tu et al.			
	141	2002/0169130	11/14/02	Tu et al.			
	142	2002/0188308	12/12/02	Tu et al.			
	143	2003/0009124	01/09/03	Lynch et al.			
	144	2003/0055372	03/20/03	Lynch et al.			
	145	2003/0060752	03/27/03	Bergheim et al.			
	146	2003/0069637	04/10/03	Lynch et al.			
	147	2003/0088260	05/08/03	Smedley et al.			
	148	2003/0097151	05/22/03	Smedley et al.			
	149	2003/0120200	06/26/03	Bergheim et al.			
	150	2003/0181848	09/25/03	Bergheim et al.			
	151	2003/0187384	10/02/03	Bergheim et al.			
	152	2003/0187385	10/02/03	Bergheim et al.			
	153	2003/0220602	11/27/03	Lynch et al.			
	154	2003/0220603	11/27/03	Lynch et al.			

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	155	2003/0229303	12/11/03	Haffner et al.			
	156	2003/0236484	12/25/03	Lynch et al.			
	157	2004/0024345	02/05/04	Gharib et al.			
	158	2004/0050392	03/18/04	Tu et al.			
	159	2004/0102729	05/27/04	Haffner et al.			
	160	2004/0111050	06/10/04	Smedley et al.			
	161	2004/0127843	07/01/04	Tu et al.			

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	162	200072059 A1	12/06/00	Australia				
	163	2,244,646	08/11/98	Canada				
	164	0 858 788 A1	08/19/98	Europe				
	165	0 898 947 A2	03/03/99	Europe				
	166	1 114 627 A1	11/30/00	Europe				
	167	2 710 269	09/22/93	France				
	168	198 40 047 A1	03/23/00	Germany				
	169	11-123205	1/105/99	Japan				
	170	WO 89/00869	02/09/89	PCT				
	171	WO 91/18568	12/12/91	PCT				
	172	WO 92/19294	11/12/92	PCT				
	173	WO 94/13234	06/23/94	PCT				
	174	WO 94/21205	09/29/94	PCT				
	175	WO 95/08310	03/30/95	PCT				

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	176	WO 98/30181	01/12/98	PCT				
	177	WO 98/35639	08/20/98	PCT				
	178	WO 99/26567	06/03/99	PCT				
	179	WO 99/30641	06/24/99	PCT				
	180	WO 99/38470	08/05/99	PCT				
	181	WO 00/13627	03/16/00	PCT				
	182	WO 00/64389	04/26/00	PCT				
	183	WO 00/64390	04/26/00	PCT				
	184	WO 00/64391	04/26/00	PCT				
	185	WO 00/64393	11/02/00	PCT				
	186	WO 00/72788	12/07/00	PCT				
	187	WO 01/50943	07/19/01	PCT				
	188	WO 01/78631	10/25/01	PCT				
	189	WO 01/78656	10/25/01	PCT				
	190	WO 03/015659	02/27/03	PCT				
	191	WO 03/073968	09/12/03	PCT				
	192	2 296 663 A	07/10/96	United Kingdom				

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	193	PCT Publication – WO 01/50943, International Publication Date July 19, 2001.
	194	Detlev Spiegel, <b>7 Chirurgische Glaukomtherapie</b> , pp. 79-88.
	195	L. Jay Katz, M.D., <b>A Call for Innovative Operations for Glaucoma</b> , Arch Ophthalmology, March 2000, vol. 118, pp. 412-413.

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EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	
	196	Anselm Kampik and Franz Grehn, <b>Nutzen und Risiken augenärztlicher Therapie, Hauptreferate der XXXIII. Essener Fortbildung für Augenärzte</b> , December 1998. (English translated version enclosed Benefits and Risks of Ophthalmological Therapy.)
	197	Phillip C. Jacobi, MD, Thomas S. Dietlein, MD, and Gunter K. Krieglstein, MD., <b>Goniocurettage for Removing Trabecular Meshwork: Clinical Results of a New Surgical Technique in Advanced Chronic Open-Angle Glaucoma</b> , American Journal of Ophthalmology, May 1999, pp. 505-510.
	198	Philip C. Jacobi, MD, Thomas S. Dietlein, MD, and Gunter K. Krieglstein, MD., <b>Bimanual Trabecular Aspiration in Pseudoexfoliation Glaucoma</b> , <b>Ophthalmology</b> , 1998, vol. 105, No. 5, May 1998, pp. 886-894.
	199	Phillip C. Jacobi, MD, Thomas S. Dietlein, MD, and Gunter K. Krieglstein, MD., <b>Microendoscopic Trabecular Surgery in Glaucoma Management</b> , <b>Ophthalmology</b> , 1999, vol. 106, No. 3, pp. 538-544.
	200	Arthur L. Schwartz, MD, and Douglas R. Anderson, MD, <b>Trabecular Surgery</b> , Arch Ophthalmol, vol. 92, August 1974, pp. 134-138.
	201	R.A. Hill, Q. Ren, D.D. Nguyen, L-H Liaw, and M.W. Berns, <b>Free-Electron Laser (FEL) Ablation of Ocular Tissues</b> , Lasers Med Sci 1998, pp. 13:219-226.
	202	Maurice H. Luntz, MD, and D.G. Livingston, B.Sc., <b>Trabeculotomy AB Externo and Trabeculectomy in Congenital and Adult-Onset Glaucoma</b> , American Journal of Ophthalmology, February 1977, vol. 83, No. 2, pp. 174-179.
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	APPLICANT Hosheng Tu et al.	
	FILING DATE February 19, 2004	GROUP 3745

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